



Attorney Docket No: S98-157/US

In the United States Patent and Trademark Office

#3

Application No: 09/993,338  
Filed: 11/13/01  
Title: Direct DNA Sequencing with a Transcription Protein and a Nanometer Scale Electrometer  
Applicant(s): Scott R. Manalis et al.  
Examiner: Not assigned  
Art Unit: 2816

Mailed 2/6/02  
Santa Clara, CA

**Information Disclosure Statement**

Commissioner of Patents and Trademarks  
Washington, District of Columbia 20231

Dear Sir or Madam:

Attached is a completed Form PTO-1449 and copies of the pertinent parts of the references cited thereon. It is requested that the document(s) on the enclosed form be made of record.

**Part I (Authority)**

This statement is filed pursuant to:

(X) 37 C.F.R. § 1.97(b).

This information disclosure statement is filed either (1) within three months of the filing date of the national applications; (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; or (3) before the mailing date of a first office action on the merits, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

( ) 37 C.F.R. § 1.97(c).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(b), but before the mailing date of either (1) a final action under 37 C.F.R. § 1.113 or (2) a notice of allowance under 37 C.F.R. § 1.311.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) (\$180), or a certification according to 37 C.F.R. § 1.97(e).

( ) 37 C.F.R. § 1.97(d).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(c).

Accordingly, this information disclosure statement requires the petition fee specified in 37 C.F.R. § 1.17(p) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) (\$180), a certification according to 37 C.F.R. § 1.97(e), and a petition requesting consideration of the information disclosure statement.

**Conditional Petition**

It is respectfully requested that this information disclosure statement be considered, good cause being presented in Part III herein (certification). please treat this paper as the required petition.

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record.

To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.

## Part II (Payment)

A check is enclosed as indicated:

- ☒ ( X ) No fee is due.
- ☐ ( ) The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) is enclosed (\$240).
- ☐ ( ) The petition fee specified in 37 C.F.R. § 1.17(i)(1) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) is enclosed (\$130).

## Part III (Certification)

Pursuant to 37 C.F.R. § 1.97(e), I certify:

- ☒ ( X ) No certification is necessary.
- ☐ ( )
  - (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.
  - ☐ ( ) The "communication from a foreign patent office" referred to in the certification is an International Search Report, possibly issued by the U.S. Patent and Trademark Office in its capacity as an International Search Authority or International Preliminary Examining Authority.
  - ☐ ( ) The "counterpart foreign application" referred to in the certification corresponds to an ancestor or descendent application of the application for which this information disclosure statement is filed.
- ☐ ( )
  - (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of the statement.

## Part IV (Additional Statement)

An additional statement regarding these items of information ( ) is, ( X ) is not, enclosed.

Copies of the cited art ( X ) are enclosed, ( ) are of record in parent application Serial No. \_\_\_\_\_ and will be provided if the Examiner deems it convenient.

Dated:

2/6/02

Respectfully submitted,



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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE					ATTY. DOCKET NO. S98-157/US		SERIAL NO. 09/993,338		
<b>LIST OF PRIOR ART CITED BY APPLICANT</b> (Use several sheets if necessary)					APPLICANT Scott R. Manalis et al.				
					FILING DATE 11/13/01		GROUP 2816		
<b>U.S. PATENT DOCUMENTS</b>									
EXAMINER INITIAL		DOCUMENT NUMBER			DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A	6	2	8	0	9	3	9	8/28/01 Allen 435 6 9/1/98
	B	6	2	3	8	8	7	1	5/29/01 Koster 435 6 5/8/00
<b>FOREIGN PATENT DOCUMENTS</b>									
		DOCUMENT NUMBER			ISSUE DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
									YES NO
	I								
	J								
	K								
<b>OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>									
	L	Schafer et al. (1991); "Transcription of single molecules of RNA polymerase observed by light microscopy;" NATURE 352, PAGE 444							
	M	Yin et al. (1995); "Transcription against an applied force;" SCIENCE 270, PAGE 1653							
	N	K. K. Likharev; "Single-electron devices and their applications;" PROC. OF THE IEEE VOL. 87 NO. 4, APRIL 1999, PAGE 606							
	O	Yoo et al. (1997); "Scanning single electron transistor microscopy imaging individual charges;" SCIENCE 276, PAGE 579							
	P	Schoelkopf et al. (1998); "The radio-frequency single electron transistor: a fast and ultrasensitive electrometer;" SCIENCE 280, PAGE 1238							
	Q	Kazuhiko Matsumoto et al.; "Application of scanning tunneling microscopy nanofabrication process to single electron transistor;" J. VAC. SCI. TECHNOL. B14(2), MAR/APR 1996, PAGE 1331							
	R	Michel H. Devoret et al.; "Single-electron transfer in metallic nanostructures;" NATURE, VOL 360, 10 DECEMBER 1992							
<b>EXAMINER</b>					<b>DATE CONSIDERED</b>				
* <b>EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.									